LONI Laboratory of Neuro Imaging, UCLA
Department of Neurology

Laboratory of Neuro Imaging

Policies and Procedures Manual

Dr. Arthur W. Toga, Director

LONI Policies & Procedures

This publication is also available electronically in PDF format on the LONI Web site:

http://www.loni.ucla.edu/About_Loni/inside_loni/LONI_Policy.jsp

The UCLA Bruin Online policies can be accessed via:

http://www.bol.ucla.edu/policies/

University of California Policies can be accessed via:

http://www.ucop.edu/ucophome/coordrev/ucpolicies/

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This document provides important and useful information regarding the Laboratory of Neuro Imaging and describes the policies and procedures that govern members of LONI and appropriate use of its resources. These policies and procedures constitute a living document and are subject to change by the laboratory at any time and without notice. These policies apply to all faculty, staff, students, users and machines within the LONI network, and are in addition to the University's policies.

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1 Introduction

Welcome to the Laboratory of Neuro Imaging. The Laboratory of Neuro Imaging (LONI) seeks to improve understanding of the brain in health and disease through the development of computational algorithms and scientific approaches for the comprehensive and quantitative mapping of brain structure and function.

The laboratory is dedicated to providing resources for the acquisition, analysis and storage of brain image data to the neuroscience community. LONI encourages collaborations between institutions and scientists; LONI disseminates the products of its research and shares the resources of the laboratory.

To meet these goals and to contribute to and advance neuroscience research, LONI and its Centers, Programs and Projects acquire data, develop modern computational tools and make these freely available to the community. LONI promotes its progress and results via peer reviewed publications, the dissemination of software tools and online database access to data. Individual investigators, LONI and the appropriate funding source(s), must always be properly acknowledged and credited for their contributions.

Because LONI is funded with NIH dollars to be a resource available to researchers from around the world, the LONI policies and procedures have been developed to balance concerns for excellence in science, laboratory safety, equipment safety, data sharing and archiving, protection of the interests of human study participants, intellectual property, allocation of limited resources and accessibility by outside researchers.

1.1 Contact Information

Laboratory Personnel

UCLA personnel associated with the operation and maintenance of the Laboratory report to the Director:

Director:
Dr. Arthur W. Toga (310) 206-2101 toga@loni.ucla.edu

Operations Manager and Assistant to the Director:
Grace Liang (310) 267-5069 grace.liang@loni.ucla.edu

Chief Technology Officer and Lead System Administrator:
Rico Magsipoc, MBA (310) 267-5076 rico.magsipoc@loni.ucla.edu

Director of Finance:
Sandy Lui (310) 206-2101 sandy.lui@loni.ucla.edu

Laboratory of Neuro Imaging
635 Charles E. Young Drive South
Suite 225
Los Angeles, CA 90095-7334
Campus Mail Code: 733422

The general phone number is (310) 206-2101
The fax number is (310) 206-5518
www.loni.ucla.edu

Other Useful Contacts

For systems administrators: sysadm@loni.ucla.edu
For technical questions: help@loni.ucla.edu
For database inquiries: dba@loni.ucla.edu
For general questions: office@loni.ucla.edu
Job applicants should email resume and cover letter to LONI: applications@loni.ucla.edu
UCLA Directory: http://www.directory.ucla.edu/
Employees can generate duplicate W-2 forms online at: http://www.payroll.ucla.edu/taxforms/home.htm
Employees can make address changes and change tax withholdings online at:
http://atyourservice.ucop.edu/
Employees may print their pay stubs online at https://ucfy.ucop.edu/ucfy/.

1.2 LONI business Hours and Calendar

Research at LONI is conducted 24/7, but the staff hours are based on a conventional 5-day work week with office hours between 8 a.m. and 6 p.m. Official University of California holidays can be found at http://www.ucop.edu/humres/policies/calendar.html. The LONI calendar of events can be found at http://www.loni.ucla.edu/calendar.

1.3 Liability

Terms governing liability are included in the formal agreements (see the attached Data Usage Agreement, LONI/CCB/BIRN Employee Agreement, etc.). In the case of outside collaborators, generally, each institution is expected to be responsible for its own actions and the results thereof and for the actions of its employees.

1.4 In Case of Emergency

Emergency resources for UCLA can be found at: http://www.ucla.edu/about/emergency.html. For life-threatening emergencies, dial 911 from any campus phone to be connected to UCLA Emergency. Non-life-threatening emergencies should be reported to the office during the hours of 8:00am and 6:00pm, Monday-Friday, excluding University holidays. For facilities emergencies during off hours, notify the UCLA Facilities Trouble Call desk at 59236.

2 Employment

2.1 New Employee Orientation and Paperwork

New employees are to report to the office administration on the first day of work. They will be given a brief orientation by one of the office administrators and/or their immediate supervisor. During this time, they should familiarize themselves with the LONI space and make note of the emergency exits.

There are currently two sets of paperwork for the new employee: one set for LONI and one set for Campus Human Resources (for paid employees). An appointment will be made for the new employee

with Neurology Human Resources to complete new hire paperwork. UCLA conducts routine background checks on all new employees and employment is contingent upon passing the background check.

Once paperwork has been completed, the new employee will be assigned a UCLA identification card (BruinCard). The BruinCard can be used as a debit card on campus and in Westwood, and as an access card to enter the Neuroscience Research Building (NRB) located at 635 Charles E. Young Drive South. A map pinpointing NRB's location on the UCLA campus can be found at www.loni.ucla.edu/About_Loni/visitors/. After-hours access to NRB is only available with the UCLA BruinCard. Visit www.bruincard.ucla.edu for more information.

2.1.1 Keys and Proxy Card

New employees will be assigned a space and given a drawer/cabinet key, if applicable. Biometric information will also be scanned into LONI's security database for entry access. It is the employee's responsibility to maintain the keys assigned to them. Replacement fees for a lost or stolen key is $20 per lost key. In the event that a door needs to be rekeyed due to a lost key, the employee will be billed for the entire cost of rekeying. Cost of rekeying is upwards of $300 per door.

All other policies and procedures for employees (below) apply to both new and existing employees.

2.2 LONI Employees

2.2.1 Benefits

Benefits are a part of the employee's total University of California compensation package. University employees are offered a wide choice of benefit plans. Certain eligibility conditions must be met to qualify for all plans.

Full employee benefits include, but are not limited to, medical coverage, disability insurance, a day care reimbursement plan, a college savings plan and a choice of retirement savings options, including a pension plan. Detailed descriptions of the UC benefits package can be found online at http://atyourservice.ucop.com.

2.2.2 Attendance

Attendance is key to any successful enterprise. It is expected that employees are on campus at least 8 hours per day Monday to Friday. This is not to say that they are limited to working 8 hours per day. It is expected that employee projects/work are finished in a timely manner regardless of the actual number of hours worked. Each employee is subject to periodic, random attendance verifications.

2.2.3 Leave of Absence

Paid leave of absence must first be approved by the employee's immediate supervisor and/or the laboratory Director. On the rare occasion that employees are too sick to work, they must call (310-206-2101) or email (office@loni.ucla.edu) the administration office *before* the start of their scheduled work time in order to qualify for sick leave. Per state and university policy, extended sick leave of 3 or more days requires satisfactory verification by a health care provider. Vacations are to be scheduled well in advance. Employees should not purchase non-refundable tickets until their vacation leave has been approved. Employees should make arrangements with their work group to cover any emergencies during their absence. Non-approved leave will be noted as leave without pay. Creative time reporting is strictly

prohibited (i.e., using sick time for vacation, calling in sick immediately before or after a scheduled vacation, etc.). Should these be apparent, you may be required to provide verification by a health care provider for sick leave and/or be denied paid sick leave. Frequent absences and abuse of leave usage will result in disciplinary action.

2.2.4 Time Reporting

Staff employees are required to report time on a monthly or bi-weekly basis. Online Time Reporting is available at www.timesheet.medsch.ucla.edu. The username is the employee's 9-digit university ID number and the default password is their 8-digit birthday. Passwords should be changed after the first log-in. Please note, OTR is only available to PC users using Internet Explorer. LONI has plenty of PC's for employees to use to submit a timesheet. Timesheets must be submitted between the first and the tenth of each month for the previous month. Late submissions are detrimental to timely pay computing and to the automatic accounting systems used by UCLA Payroll. All timesheets must be approved before a paycheck can be issued; therefore, it is in the employee's best interest to ensure accurate and timely reporting. False time reporting will lead to disciplinary action.

Postdoctoral fellows will report their vacation times to their mentor/supervisor for informational purposes and directly to the Academic Personnel office in the Department of Neurology for final time accounting.

LONI does not automatically pay overtime hours. Any overtime must first be authorized by your direct supervisor with approval from the lab director. Unscheduled overtime will not be compensated.

2.2.5 Visas

All employees are required to provide adequate proof of work authorization. The David Geffen School of Medicine (SOM) at UCLA sponsors select qualified employees for work and/or immigration visas. The SOM sponsorship is dependent upon faculty sponsorship. LONI will sponsor qualified employees in selected payroll titles. Generally, research-related titles have a better chance of being approved than staff titles. The employee being sponsored is responsible for any and all visa fees including those fees temporarily paid directly by LONI. The employee is responsible for collecting all pertinent paperwork and following-up on the status of the application. The employee is also responsible for notifying LONI office administration well in advance of visa expiration dates so that proper steps can be taken to ensure your continued employment with LONI. Per university policy, failure to provide adequate work authorization will result in immediate termination.

2.3 Graduate Student Researchers

2.3.1 Appointment

Graduate Student Researchers (GSR) are appointed each year from July 1 through June 30. Per university policy, academic appointments are renewed on an annual basis. As such, salary levels can only be adjusted once each year on July 1. LONI GSRs are appointed for 12-month periods. This means the appointment stays constant throughout the year. There is no 100% appointment over the summer months. Non-resident students are appointed up to 44% to avoid paying Non-Resident Tuition (see below). California residents are appointed up to 49% per University policy. Actual salary level is the sole discretion of the faculty mentor with consideration given to LONI, departmental and University-wide policies and practices. Salary adjustments and reappointment are dependant upon sufficient funding to the faculty mentor. Continued appointment is also dependant upon individual progress and/or performance.

2.3.2 Work Expectations

Each GSR is expected to keep his/her faculty mentor apprised of his/her progress. The goal is for the student to receive his/her degree in a timely fashion. Students are expected to be in the lab a minimum of 20 hours per week. In most cases, students will work more than 20 hours in order to see progress on their research.

Students are expected to contribute to LONI both scientifically and operationally. This means that students may occasionally be asked to work with collaborators on a project, present a talk at meetings/conferences or otherwise support LONI activities. In addition, students are expected to have submitted at least one research paper to a quality journal prior to scheduling their Oral Qualifying Exams.

GSRs are assigned a workstation within LONI. This seat is a privilege, not a right. Space policy (see section 9.7 of the LONI Policies and Procedures Manual) violations will result in loss of use. It is understood that if the GSR is not using the workstation, it will be reassigned to others who are currently working. When scheduling requires it, GSRs may be asked to share workstations. Prolonged absences will cause the workstation to be permanently reassigned to someone else.

2.3.3 Funding

2.3.3.1 Faculty financial commitments for students with no external funding.

Faculty mentors normally pay Resident fees, health insurance and a stipend. However, this is not a guarantee and depends on available funding, performance and other commitments. Stipends are paid based on the GSR Salary scale. Individual salaries are to be negotiated with each faculty mentor.

2.3.3.2 Faculty financial commitments for students with external NIH funding (per NIH policy as of 2007).

When a student wins external financial support, faculty mentors normally pay 40% of Resident fees and a stipend difference to supplement the fellowship stipend amount. Faculty mentors have an option to give the student a bonus based as an incentive. Such bonuses are dependant upon availability of funding, the discretion of the mentor and LONI policy.

2.3.3.3 Faculty financial commitments for students with external non-NIH funding.

Faculty commitment will be based upon the rules and regulations of the funding agency. In most cases, non-NIH funding will be similar to NIH funding. Therefore, a similar breakdown will be used pending specific budgetary restrictions from funding agencies. When submitting proposals, students are asked to budget for full University fees, health insurance and a stipend. Additional stipends and the bonus will come from faculty mentors when funding is permissible.

2.3.4 Fees not paid by LONI

In an effort to provide fair funding distribution among all graduate students, LONI does not pay Non-Resident Tuition (NRT) or Non-Resident Educational Fees for any student. The 2007-2008 difference between Non-Resident and Resident Educational Fees is $294.00. NRT for 2007-2008 totals $14,694.00. Upon advancement to candidacy, the student receives a 100% discount on NRT. This provides an incentive for the student to quickly advance to candidacy. The NRT waiver is applicable for 9 quarters. After 9 quarters, the student will begin paying NRT again at the full amount.

LONI does not pay non-educational expenses that are billed to students as part of university-assessed fees. These include, but are not limited to, the following:

Graduate Student's Association Fee		$39.00
Graduate Writing Center Fee		$12.00
Ackerman Student Union Fee		$31.50
Seismic Fee for Ackerman/Kerckhoff		$113.00
Wooden Center Fee		$45.00
SPARC		$93.00
	Total	$333.50

It is the student's responsibility to ensure that all fees are paid in a timely fashion. Fees are due three times a year generally on August 20, December 20 and March 20. Students on the semester system (e.g., MSTP program) have the same amount of fees due broken down into two payments generally due on August 20 and March 20.

2.3.5 Travel

Given sufficient funding, students may request support for one trip per year to attend large scientific meetings in which they are presenting a paper/poster as a first author. In general, students attend large annual meetings like SfN, OHBM, ISBI, IPMI, AAN, etc to present their work. Funding priority is given to those with high profile talks. Detailed budgets must be sent and funds must be requested at least 6 months prior to the meeting date to allow sufficient time for approval and to get the best travel deals. Only approved budgets will be reimbursed. Prevailing travel policies apply (see section 9.5 on travel for all LONI employees), but in general, students must use the most economical travel method possible. Travel funds may not be carried forward to following years. Unspent travel funds may not be re-appropriated for other uses. In general, domestic travel carries a $1,500 reimbursement limit and international travel carries a $2,500 reimbursement limit. Additional trips may not be approved or funded. If the student decides to attend additional meetings/conferences, he/she must first obtain approval from the faculty mentor.

2.3.6 Teaching Assistant Positions within UCLA

Some academic programs may require students to hold TAships in order to enhance their academic experience. The TAship relieves LONI of fees payment and partial stipend payment. Appointments within LONI can be adjusted to accommodate the TAship. This is due to the Graduate Division rule that students must not be appointed more than 49% time during the academic year. Due to the nature of some classes, students may need to exceed 49%. Exceptions may be requested by the program offices (BME, NS, MSTP, etc.) and faculty mentors for students to be appointed up to 75% for a limited time. Students must notify their faculty mentor and the LONI Administrative Office of their intent to take on a TAship as soon as possible as LONI is required to submit paperwork to pay fees at least one month prior to the deadline.

Under no circumstance will it be permissible to hold classes in the LONI DIVE or T Room. LONI equipment (e.g., copy machine, printer, fax machine, computers, etc.) are to be used strictly for LONI-related business only. Handouts for TAship classes cannot be produced at LONI unless specific permission has been granted.

2.3.7 Visa for non-immigrant students

Non-immigrant students must obtain the proper student visa (F-1) from UCLA OISS. The visa paperwork and process is the sole responsibility of the individual student. LONI does not pay any visa fees. Students who opt to take Circular Practical Training (CPT) or Optional Practical Training (OPT, upon graduation) must first discuss their intentions with their faculty mentor. Immigration and University regulations prohibit LONI from employing non-immigrant students in a staff title unless the student has an approved CPT or OPT. Both CPT and OPT status have time limits. Students are encouraged to seek advice from the Office of International Students and Scholars (OISS) and/or qualified immigration professionals.

2.4 Conflict Resolution and Progressive Discipline

It is expected that employees treat each other with respect. Abuse of any kind will not be tolerated. Should a conflict arise during employment with LONI, it is advisable to schedule an appointment with the laboratory Director to discuss employee concerns. It is helpful for employees to put their concerns in writing immediately after the incident and prior to meeting with the laboratory Director. Each meeting will be followed by a memo documenting the event. All formal requests or actions should be made in writing. LONI will try to resolve issues as fairly and quickly as possible and report to appropriate University officials as required. Involvement by the department, school or other University officials will occur as appropriate.

In the event of unsatisfactory work performance, LONI will take progressive discipline actions per university policy. On the first offense, employees will be given counseling to correct their behavior. Verbal counseling sessions will take the place of written counseling when applicable. Per university policy, LONI will make an effort to accommodate employee requests or needs. Failure to take corrective action in a timely manner following counseling (verbal or written) will result in warnings that culminate in dismissal.

2.5 Hiring and Training of New Employees

Group leaders may have the need to hire additional staff for their projects. All new positions must first be approved by the laboratory Director. The office administration team can assist in creating and advertising a new position. Eligible candidates will interview with the laboratory Director before a final selection is made. LONI does not provide travel support for the interview or relocation support. Exceptions can be made in very rare instances.

Once the new employee has passed through the interview process, he or she will be referred to the office administration team for new hire procedures. New hire paperwork processing takes several days to several weeks to complete. Official offers of employment will be issued only after a number of University and Departmental requirements have been satisfied. Group leaders are encouraged to budget a minimum of two weeks between the decision to hire and a new employee's first day of work. All new hires must have the proper work authorization. Failure to produce the appropriate work authorization will delay employment or result in immediate dismissal. New hires are to read this manual and sign the acceptance page prior to start of work. Once onboard, it is the group leader's responsibility to orient and train the new employee.

3 General Conditions of Access

LONI contains unique, expensive equipment that, for safety reasons, requires that the operation of some of the systems be limited to a few trained individuals.

3.1 Access to Equipment

Instrumentation purchased through LONI is available for use by LONI researchers and specified collaborators. For safety and liability reasons, only LONI staff are allowed to operate much of the laboratory equipment. Examples of this equipment include, but are not limited to, microscopes, cryotome and computing workstations.

3.2 Access to IT

LONI is outfitted with a variety of data acquisition, archiving, and telepresence equipment, including sensors (e.g., cameras, iris and finger print identifiers), servers, appliances and cabling. Access to all computers is restricted to laboratory employees and pre-approved collaborators. Outside collaborators must have a Personnel Information sheet (Appendix 12.1) on file prior to being granted access to restricted LONI servers.

4 Computing Resources

LONI provides the neuroscience community with access to a broad array of supercomputing, visualization, storage and networking resources. The goal is to provide a secure and highly-reliable environment in which investigators can conduct their research. To this end LONI:

- provides a fault-tolerant, high-availability storage area network designed to ensure 24/7 functionality and accommodate current and projected storage requirements
- employs a high-performance computing environment with separate graphics and computation systems to optimize function-specific procedures and provide fault tolerance by eliminating any single point of failure
- provides use of the LONI Image Data Archive which has been constructed for effective archival and protection of image data
- makes available software packages for image analysis, visualization and modeling
- provides access to a well validated set of protocols developed for the processing of imaging data

4.1 General Understanding

LONI's supercomputing, storage and networking systems are shared resources. Any action that inhibits or has the potential to inhibit the ability of authorized users to utilize these resources is considered a policy violation. The laboratory will use the University's mandate on acceptable computing resource usage to determine whether a violation has occurred. In addition, for situations not explicitly enumerated in written policy, LONI will exercise a case-by-case evaluation. Laboratory employees and collaborators are expected to exercise good judgment in their use of the computing resources. Users are encouraged

to consult LONI systems administration when questions arise regarding potentially inappropriate computer usage.

4.2 Availability

The LONI supercomputing resources are generally available 24 hours per day, 7 days per week. Users will be notified, in advance, by system broadcast and/or e-mail, of scheduled down times.

4.3 Security

Due to the sensitive nature of the research conducted at LONI, several security measures have been instituted.

4.3.1 User Accounts

User accounts for new employees are created when the employee is hired and put on payroll. User accounts may be obtained for approved, registered collaborations. Instructions on becoming a LONI collaborator are covered in Section 5. Upon the departure of the user from LONI or the end of a formal collaboration, the account will be closed and all data archived.

4.3.2 Passwords

Users agree to help assume all reasonable measures to keep their accounts secure. Failure to do so may result in the cancellation of the account. The list below describes some ways in which accounts may be kept secure. The list is not exhaustive and, for any doubts and additional questions, users should contact System Administration.

- Do not communicate your password to anyone. If group access to the same data is necessary, System Administration can set up the appropriate permissions.
- Choose a password that you can easily remember but that is not immediately associated to you. Birth dates, names of spouses, partners, and pets are usually bad choices. Choose something obscure but easy for you to remember.
- Never write down your password where others might see it. Keep it in memory. Do not post your password on your terminal or program it in one of your terminal's function keys. Never include your password in an e-mail message. No one from LONI is authorized to ask you to communicate your password.
- Do not leave your terminal unattended while you are logged in to your account.
- Report any moved, added, deleted, or altered files.

4.3.3 Restrictions

4.3.3.1 Secure Connectivity Requirements

The laboratory relies on Secured Shell (SSH) and/or VPN for encrypted transmission of account information, including passwords, over the network. Any computer that requires a network connection to the LONI systems must use SSH or VPN. Furthermore, protocols based on SSH, SFTP and SCP specifically, are to be used in place of FTP and CP for secured data transmission throughout the LONI network. The system administration staff will be happy to assist with any connectivity-related issues.

4.3.3.2 Resource Drains

The use of specific UNIX commands known to produce resource drains on the system is prohibited. Examples of such commands are find commands over CXFS and NFS mounted file systems. As an alternative, account holders can use the -fstype nfs -prune -o options to avoid excessive burden on the system. Any other user-developed commands that monopolize computing resources and significantly impact the ability of other users are prohibited.

4.3.3.3 System Usage

If a machine is to be left unattended and unused for more than 1 hour, the user is required to log off. 'Locking' unused machines for extended periods of time prevents others from using the computing resource and is prohibited.

4.4 Machine Requirements

Systems utilizing the LONI network must disable the TELNET, R services and FTP protocols as they are deemed unsecured. In addition, systems should meet the up-to-date CERT security recommendations and implement the latest patches provided by the appropriate OS vendor, including, but not exclusive of, the installation of antivirus and antispam applications.

4.4.1 Services

Information, specifically the name, type, MAC address, and services running, on machines with static IP addresses must be entered into LONI's machine database. Services, such as SMTP, web services, etc. cannot be enabled without explicit authorization from LONI system administration. This ensures that systems running such services are tracked and administered properly.

4.4.2 Wireless

Use of the LONI VPN is necessary when connecting wirelessly. The procedure for creating the appropriate VPN connection is outlined at http://www.loni.ucla.edu/twiki/bin/view/Infrastructure/GettingOnline. The user must connect to wireless SSID UCLAWLAN and onto VPN when on campus.

4.4.3 Accounts

Root/administrator accounts or “sudo” equivalent on machines with a static network address must be given to LONI system administration for emergency purposes.

4.5 Consequence of Misuse and/or Repeated System Compromise

In the event that a particular machine is compromised, the boot drive must be zeroed using appropriate utilities and a clean install of the operating system must be performed. If a situation is deemed in violation of usage policy, System Administration will make three attempts at resolving the issue with the appropriate parties. Failure to cooperate will result in the loss of computing privileges and/or the removal of the offending machine from the network.

On the first occurrence of a system compromise on a non-LONI administered machine, LONI System Administration and the other parties involved will meet, discuss and address any security issues and concerns. A second occurrence, if it is due to gross negligence, will result in LONI billing the appropriate parties for service interruption, if any, and time and resources expended by LONI staff on securing the system. Gross negligence entails failure to properly patch a machine after an exploit/vulnerability has been publicized for 14 days. A third occurrence will result in a permanent loss of computing privileges.

4.6 Hardware and Equipment

At times it may be necessary for LONI to purchase additional hardware for certain employees. This includes, but is not limited to, workstations, laptops, hard drives, etc. All purchases must be coordinated with the Chief Technology Officer. Such equipment is to be used for LONI business only. At the end of the employee's relationship with LONI, all equipment, hardware and software must be returned to LONI in normal operational condition.

4.7 Software

LONI's focus on computational anatomy and multidimensional modeling has resulted in the development of software packages that deal with aspects of image analysis and modeling. Software descriptions, requirements and downloads are available on LONI's web site:

http://www.loni.ucla.edu/Software/
http://www.loni.ucla.edu/ICBM/Resources/Resources_Software.shtml
http://www.loni.ucla.edu/NCRR/downloads.aspx
http://www.loni.ucla.edu/CCB/Software/index.jsp
http://www.loni.ucla.edu/pipeline/

4.8 Support

A variety of support options exist which include a help desk, technical support and training. These are described in detail below.

4.8.1 Technical Support and Monitoring

LONI maintains full time staff devoted to supporting the computing resources including network and performance tuning. This team understands the importance of the research being conducted and the necessity of making LONI resources stable, providing high availability and delivering fast access to computing and data resources.

4.8.2 Help Desk

In general, help may be obtained by sending e-mail to help@loni.ucla.edu. The help desk is staffed during regular working hours.

5 Collaboration

LONI collaborations involve research projects focused on a variety of neuroscientific problems spanning the range from development to aging, as well as disease processes that influence the structure and/or function of brain. We provide service to collaborators in the form of robust software, access to our computer hardware resources and production of animations and image renderings. Collaborators agree to comply and support the policies and procedures as documented in this manual.

5.1 Application

Collaborators are required to provide information regarding their Institution, project and funding status. This requirement is mandated by the funding source. An on-line application form is available at http://www.loni.ucla.edu/NCRR/collaborations.aspx for this purpose.

5.1.1 Selection

Selection is based upon the promise of a significant scientific relationship. Each of the collaborative projects fit well with the general themes computational anatomy and multi-dimensional modeling. Further, our efforts on collaborators' behalf and their contribution to our research are mutually beneficial. These projects provide unusual data sets, either repeated measures or unique populations of individuals of high quality imaging or specific biological problems that present a unique and challenging opportunity for our group. Once selected, appropriate LONI user account(s) will be established for the investigator (or the investigators representative) and e-mail notification provided.

5.2 Data Collaboration

5.2.1 Overview

Collaborations in which medical imaging data are processed/analyzed utilizing LONI resources are considered Data Collaborations. As such, all relevant patient privacy regulations as well as the provisions of the LONI IRB(s) must be followed. Mechanisms for de-identification and secure transmission of imaging data are supported by the LONI Image Data Archive (IDA). Collaborators wishing to store data at LONI for processing, sharing or other purposes are required to utilize the LONI Image Data Archive for de-identifying, transmitting and storing data.

The LONI IDA provides a web-based environment for safely archiving, querying, visualizing and sharing neuroimaging data. The archive facilitates the de-identification and pooling of data, protecting data from unauthorized access while providing the ability to share data among collaborative investigators. Password authentication is required for all accesses and all accesses are logged. Data are stored in a fault-tolerant network, available near 24/7 and backed-up nightly. A complete overview of the collaboration process is contained in Appendix 12.3 and available online at http://www.loni.ucla.edu/Collaboration/LONI_Data_Collaboration_Overview.pdf.

Collaborators wishing to begin a Data Collaboration should check the "Data Services" checkbox on the collaborator application form. Upon approval of the collaboration, the collaborator will be contacted to initiate the project in the IDA.

6 Human Subject Data

This section of the LONI Policy summarizes relevant human subject privacy information and outlines our approach to satisfying the applicable regulations without hindering research. The goal is to balance guarding human subject confidentiality and supporting research activities. To assist collaborators in meeting these regulations, LONI provides data de-identification tools and a secure data archival environment.

6.1 Patient Privacy

Protecting the confidentiality of subject data is a crucial element of any medical research project that involves human subjects. Federal Regulations govern human subject research and protection of subject-identifying information. The list below contains links to web sites covering various U.S. Government Agencies' policies on patient confidentiality and shared data.

1. United States Department of Health and Human Services regulation concerning standards for privacy of individually identifiable health information (45 CFR Parts 160, 162, and 164)
    a. http://www.hhs.gov/ocr/hipaa/
    b. http://www.hhs.gov/ocr/combinedregtext.pdf
2. National Institutes of Health policy on sharing data in research activities
    a. http://grants1.nih.gov/grants/policy/data_sharing/
    b. http://grants1.nih.gov/grants/policy/data_sharing/data_sharing_faqs.htm
3. National Institutes of Health guidance on the research use of stored samples or data
    a. http://ohsr.od.nih.gov/info/info.html

6.1.1 Overview: Health Insurance Portability and Accountability Act of 1996 (HIPAA)

HIPAA Standards for Privacy of Individually Identifiable Health Information Regulations (45 CFR Parts 46 and 160 through 164) establish requirements for protecting the privacy of individually identifiable health information. These standards apply in all cases where data is acquired by a covered entity and most cases where data is acquired by a hybrid entity.

6.1.2 Definitions

Protected Health Information (PHI)
: Protected health information is any individually identifiable health information that could be used by itself or in conjunction with other data to identify a subject. This information cannot be shared.

De-Identified Data
: De-identified data is data that has been processed according the HIPAA privacy rule so that it is no longer PHI. This data contains no identifying information and can be easily shared.

Limited Data Set
: A limited data set contains some information that needs to be de-identified under the HIPAA rule but can be shared for research purposes under an active Data Use Agreement.

Data Use Agreement
: Disclosure of a limited dataset is permitted on execution of a data use agreement which establishes the permitted research uses of the data by the recipient, limits who can use the data, and requires the recipient to agree not to attempt to identify or contact the subjects.

6.1.2.1 De-identification of data

Protected health information can be de-identified so that such information may be used and disclosed freely. Under the HIPAA regulations there are two approaches to de-identification: 1) de-identification to a statistical standard; and, 2) de-identification by removal of the 18 specific identifiers listed below:

1. Names
2. Geographic subdivisions smaller than a state, except for initial three digits of zip code unless this abbreviation contains less than 20,000 people

3. Dates directly related to an individual (visit dates, birth dates)
4. Phone numbers
5. Fax numbers
6. Email addresses
7. Social Security numbers
8. Medical record numbers
9. Health Plan beneficiary numbers
10. Account numbers
11. Certificate/license numbers
12. Vehicle identifiers and serial numbers, including license plate numbers
13. Device identifiers and serial numbers
14. Web Universal Resource Locators (URLs)
15. Internet protocol (IP) address numbers
16. Biometric identifiers including finger and voice prints
17. Full face photographic images and any comparable images
18. Other unique identifiers

Note: age less than 90 (including months, days and hours), gender, ethnicity and other demographic information is allowable.

6.1.2.2 Re-identification

A subject identifier which allows information de-identified under HIPAA guidelines to be re-identified may be assigned provided that:

- the code is not derived from nor related to information about the individual and is not otherwise capable of being translated so as to identify the individual
- the code is not used or disclosed for any other purpose

6.1.2.3 Limited Data Set Definition

HIPAA guidelines make provisions for creation of a limited data set for research purposes, however, sharing of a limited data set requires a use agreement be obtained between the recipient of the data and the source. Under this provision the following may be shared:

- Patient Age (including months, days and hours - any age)
- Patient Visit/Study Dates
- Birth and Death Dates
- Geographic subdivisions - including 5 digit zip code
- Note that the limited data set does not include the catch-all "other unique identifiers" contained in the Safe Harbor Provision.

As before allowable attributes include: Patient Weight, Admitting Diagnosis Description, Ethnic Group, Occupation.

6.2 Human Subject Privacy Strategy

This section outlines the LONI strategy for protecting the confidentiality of human subject data.
Data are to be used solely for analysis and research. LONI requires all users to give assurance that all data uses will conform to widely accepted standards of practice and legal restrictions that are intended to protect the privacy of research subjects. The LONI policies regarding privacy of patient data comply with all Federal regulations and guidelines. Sharing of LONI acquired data is in accordance with the HIPAA guidelines for de-identified and/or limited data sets as stated in (45 CFR Parts 160 and 164).

Each investigator is required to examine data collections to ensure that the contents of the collection do not violate explicit or implicit pledges of confidentiality given to research subjects. Data items that could be used to identify individual respondents must be removed (in conformance with HIPAA regulations).

6.3 LONI Image Data Archive

6.3.1 Overview

The LONI Image Data Archive (IDA) has been constructed to provide an effective means for archival and protection of medical image data. The LONI IDA incorporates mechanisms to ensure that no image data or identifying subject information is accessible without the appropriate authorization and the expressed permission from the collaborator that acquired and provided the data. As part of the archival process, all image data are de-identified prior to transmission and storage at LONI. Access to data is controlled by the study PI or the individual designated by the PI.

Investigators are expected to utilize the IDA for storage of image data in order to ensure that human subject privacy regulations are followed and de-identified data are available to the investigator's research team.

Although every attempt is made to ensure that the contents of the database are correct, data are provided by multiple parties and occasional errors may occur. All reasonable measures will be taken to ensure that errors are corrected promptly and completely, however, no explicit guarantee is provided regarding the accuracy of any data contained within this database.

6.3.2 Database Assistance

The LONI data management staff is available to assist investigators in the data archival process. For questions, please send e-mail to dba@loni.ucla.edu. The database may be perused on the LONI web site at: http://www.loni.ucla.edu/ida/login.jsp. A user account is required.

7 Education and Training

LONI's goal in training is to provide the most comprehensive arsenal of materials to train investigators both on the theory and philosophy of image analysis, computational anatomy and multidimensional modeling, as well as the specific applications of software developed at LONI. Training activities are divided into the following areas:

1) courses and workshops
2) formal training program
3) visiting scholar series
4) instructional web
5) research training program

Additional information and descriptions of each of these activities may be found at the LONI web site: http://www.loni.ucla.edu/About_Loni/education/.

8 Web Site

The LONI website supports LONI activities and research projects. The site reports the progress made by the scientific research teams, provides documentation on aspects of LONI resources, and maintains a database of publications generated by investigators. Additional information is available at our home page http://www.loni.ucla.edu.

8.1.1 Limitation of Liability

LONI is not liable for any direct, indirect, special, incidental or consequential damages arising out of the use—or the inability to use—the material on this site. This includes but is not limited to the loss of data or loss of profit, even if LONI was advised of the possibilities of such damages.

8.1.2 Links

While this site may contain links to third-party sites, LONI is not responsible for the content of any linked sites. LONI provides these links as a convenience and does not endorse the companies or contents of any linked sites.

8.1.3 Export of Information

The Unites States Export Controls laws prohibit the export of certain technical data and software to certain territories. No content from LONI may be downloaded or otherwise exported in violation of United States law.

8.1.4 LONI Privacy Policy

When inquiries are e-mailed to LONI, the question and the e-mail address information are stored so that employees may respond electronically. Unless otherwise required by statute, LONI does not identify publicly who sends questions or comment. LONI will not obtain information that will allow us to personally identify you when you visit our site, unless you chose to provide such information to us. LONI does not forward your mail outside of LONI nor do we collect your name and e-mail address for any purpose other than to respond to your query and satisfy funding agency requirements. LONI will only maintain the information as long as needed to respond to your question or to fulfill the stated purpose of the communication.

E-mail sent to LONI may be seen by a number of people who are responsible for answering questions. If the information specialist who answers the mail does not know the answer to your question, your query may be forwarded to another LONI employee more experienced in that area. You should be aware that e-mail is not necessarily secure against interception. Therefore, if your communication contains sensitive or personal information, you may want to send it by postal mail.

9 General Policies

9.1 LONI Resources for Personal Use

The Laboratory of Neuro Imaging provides its employees with a number of resources and supplies. It is understood that these resources and supplies are crucial to employee work performance. While the occasional personal telephone call is unavoidable, frequent use of laboratory resources/supplies for personal purposes will not be tolerated. This includes, but is not limited to, printer usage, copier usage telephone/fax usage and disposable supplies. Supplies may be requested from any office administrator with the understanding that employee usage will be tracked. Printer usage is constantly tracked by the systems administrators. Abuse of LONI resources and/or supplies will result in fees for the resources/supplies used. Frequent abuses will result in loss of access.

9.2 Equipment Check-out Procedures

From time-to-time, employees may find it necessary to borrow LONI equipment for work purposes. This is perfectly acceptable. There are several notebook computers, projectors, external hard drives, etc. available for check-out. Check-out procedures generally involve an employee signature on the check out sheet indicating acceptance of said equipment and promise to return the equipment in its original condition with no internal or external damage, cosmetic or otherwise. Should LONI administrators find damages after the equipment is returned, the employee will be billed for the cost of the repair or replacement. No equipment is to be checked out without the check out sheet signed by the employee. High-demand equipment, such as the portable projector, needs to be reserved at least 1 (one) day in advance. There is no guarantee that any equipment will be available during the employee's time of need. All loans are first-come, first-served. All borrowed equipment must be returned within 48 hours. Extended loan periods can be arranged. Employees can see any office administrator for equipment loans.

9.2.1 Notebook Computers

Notebook computers can be configured to employee needs. Only pre-approved software installed by the systems administrators may be used on laboratory notebooks. All peripherals checked out with the notebook must be returned in working condition. Employees should notify one of the office administrators and/or systems administrators should they find missing items (e.g. power cord, network cable, lock, etc.). Employees are responsible for any damages and/or missing items.

9.2.2 Software

The laboratory has myriad software available to LONI employees only. Requests for additional software should be sent to the systems administrators. Any software purchased by the laboratory is for laboratory use only. Software needed for your work can be requested from the systems administration team. They will provide you with either a link or a CD with the requested software.

9.2.3 Abuse of Laboratory Equipment

The various office machines around the laboratory are for business use. These include telephones, copiers, fax machine, shredder, printers, along with a host of standard office supplies. These items are expensive and should be treated with care. Employees should report any damages immediately. Abuse of laboratory equipment will result in disciplinary action.

9.3 Voicemail

Voicemail is available on all the phones in the offices. The shared laboratory phones do not have voicemail as they serve a large number of people. The office administrators are decreasing the number of messages they take. For those occupying the offices, calls will be forwarded to their phones. It is each employee's responsibility to check their voicemail on a regular basis. Extra copies of the VoiceNet user guide may be obtained with an email request to office@loni.ucla.edu. If employees occupy a shared office, they have shared voicemail. It is suggested that employees set an outgoing message letting callers know not to leave personal, sensitive messages. As with other laboratory equipment, telephones and voicemail are university property and are to be used for university business.

9.4 LONI Publications

All LONI authors are required to acknowledge LONI funding sources in publications. Employees can email office@loni.ucla.edu for appropriate acknowledgement information. Past LONI publications are searchable via www.loni.ucla.edu/Research/Publications/.

Employees can obtain help in submitting a manuscript from any of the office administrators should they require it. Employees should always email a final version of their manuscript to office@loni.ucla.edu regardless of their corresponding author. This helps LONI keep a track of overall productivity.

9.5 Travel/Purchase Reimbursements

Occasionally, employees may be required to travel or make purchases on behalf of the laboratory. These costs are generally reimbursable. All travel budgets and/or purchases must be pre-approved. Employees must obtain budgetary approval prior to scheduling a trip. Unapproved travel may not be reimbursed. Travel funds must be requested at least 6 weeks prior to the meeting date to allow sufficient time for approval and to get the best travel prices. Prevailing travel policies apply (see below), but in general, employees must use the most economical travel method possible. In general, domestic travel carries a $1,500 reimbursement limit and international travel carries a $2,500 reimbursement limit. Additional trips may not be approved or funded. If an employee decides to attend additional meetings/conferences, he/she must first obtain approval from his/her direct supervisor in order to obtain an approved leave.

When traveling, employees should make sure to select the most economical travel options. LONI, pursuant to university rules, will only reimburse for a round-trip ticket between departure and arrival destinations (as dictated by UCLA travel policies), appropriate hotel stay (including hotel taxes), ground transportation and meals. Other charges such as registration fees and internet charges must be pre-approved and are reimbursed on a case-by-case basis. You may book your air travel through www.travel.ucla.edu, through your travel agent or directly with the vendor. If you use a discount travel website such as Orbitz, Travelocity, Expedia, etc. do **not** purchase a packaged deal (flight + hotel). You are required to turn in itemized receipts for each travel item and packaged deals normally do not give you itemized receipts. Alcohol and tobacco are not reimbursable under any circumstances. All travel expenses will be reimbursed after you return. Nothing can be reimbursed prior to departure.

Travel costs will be reimbursed up to the pre-approved amount. Any costs over the approved amount will be your responsibility. Itemized receipts are required for all expenses at all times. Please tape receipts on white sheet of paper, with a short explanation for each if the receipt does not clearly state the purpose. Do not use tape on thermal paper. The current maximum daily amount allowed for meals is $64.00, however you are required to claim only what you spent on food. Receipts are required by the department for accounting purposes. Note that there is no domestic per diem at UCLA. Foreign travel per diem is based on travel destination. Mileage reimbursement rate for privately owned automobile is currently 48.50 cents per mile (June, 2007). Once you have submitted the reimbursement form and receipts, an expense report will be prepared for you. A copy of this report can be emailed to you upon request. All original receipts are to be turned in to LONI. Do not use any staples. Questions on policies and/or procedures should be directed by email to office@loni.ucla.edu or by phone to (310) 206-2101.

All receipts are to be turned into the office administration team as soon as possible but no later than 15 days after travel. Late reimbursements may not be approved by UCLA Travel Accounting. The processing time for employee reimbursement varies widely with work load, time of year and intricacy of the reimbursement. Generally, reimbursements will be processed within 30 business days.

Receipt Requirements:
Original, itemized receipts are required for all reimbursements. Copies of receipts are not acceptable. All receipts must show:
- Date
- Items purchased
- Total cost
- Method of Payment (Cash, Credit Card, Check)

Do not split bills for hotel rooms, cabs or meals. If you share expenses, you are required to obtain a separate receipt (with your name printed). If an expense is paid by check, the University requires a copy of the cancelled check (both sides) and the bank statement. Electronic copies obtained from your bank's website are sufficient documentation. You may cross out items unrelated to your reimbursement if you wish to do so.

9.5.1 General Guideline for Purchases

Prior to making a computer software or hardware purchase, employees should make sure the systems administrators do not already have what they need. Employees should send inquires to sysadm@loni.ucla.edu. Computing purchases must be approved by both the Chief Technology Officer and the laboratory Director. Other laboratory purchases must be approved by the group leader and the laboratory Director.

9.6 Use of LONI Name, Logo, Stationery

The LONI name and logo are registered trademarks. Use of the LONI name/logo requires pre-approval of the Director. Under no circumstances are the LONI name, logo and/or stationery to be used for non-LONI activities. Failure to adhere to this policy will result in disciplinary action.

9.7 Space and Occupancy Policies

The Laboratory of Neuro Imaging was designed and architected as an open laboratory to facilitate interaction and collaboration. It features numerous modern and attractive elements and materials and, as such, is a showcase for our scientific group and the entire university. There are frequent tours, demonstrations and other public functions in the LONI space. These are for the lay public, funding agency representatives, donors, senior administrators and others who can help LONI achieve our scientific and educational missions. Therefore, it is especially important that everyone utilizing this space recognize the responsibilities that come with occupancy.

9.7.1 Space Assignments

All space within the Laboratory of Neuro Imaging is assigned by the Director. The space and work station assigned to employees and their colleagues have been carefully planned to maximize efficiency and use of space. Any requests for changes or additional needs should be addressed to the Director. Employees should not initiate any changes without first discussing the issue with the Director. In the event that the employee does not use the assigned space, that space will be temporarily allocated in a first-come-first-served basis.

9.7.2 Decorations

The work space assigned to each employee is considered LONI domain. This is true for occupants of the cubicles and offices. Employees should treat their space as publicly observable and they should respect their neighbor's right to a clutter-free work environment. Personal decorations are to be kept at a minimum. Large items, decorative or otherwise, must first be approved before being installed. Under no circumstances should they obscure openness of the space with posters, hangings, blinds or other materials.

9.7.3 Noise

LONI's open design mandates quiet behavior. In keeping with the theme of an open space, the cubicles have been installed with low walls and the offices have glass walls. Employees should be respectful of their co-workers. Excessive noise that interferes with others' ability to work or concentrate is inappropriate. Communication and conversation should not be held at a volume that disturbs others.

9.7.4 Access to T Room, the DIVE and Other Restricted Spaces

Employees may request access to the T Room or DIVE for laboratory meetings. These rooms include teleconference capabilities and other electronic technologies including display systems and an electronic whiteboard. This equipment must be used carefully and left in an operable condition and as the employees found it. Employees should not modify the operation or function of this equipment. Systems administration will assist if requested. Availability of these rooms can be found at http://www.loni.ucla.edu/calendar. Reservation requests for employee meetings can be made with an email to office@loni.ucla.edu (when emailing, employees should include all the required information from Appendix 12.4). As with all other space in the facility, you must leave it clean, neat and organized. Neither the DIVE nor the T Room is to be used as a classroom or subject testing room.

9.7.5 Food and Beverage

Food and/or beverages anywhere in the laboratory are not allowed unless pre-approved. Employees must use a spill-proof cup when bringing in any drinks into the laboratory. Most coffee shops will accommodate the spill-proof cup; some give a discount for bringing your own cup. ***Disposable cups are not allowed in the laboratory at any time.*** Food and drinks associated with approved functions are to be confined to the kitchenette area located near the restrooms. Employees are expected to clean up after themselves in the rare event of a food, drink or other spill.

9.7.6 Cleanliness and Neatness

The laboratory receives minor housekeeping from UCLA Facilities Management. Therefore, cleanliness and neatness responsibilities fall on all of the employees individually. This includes all assigned cubicle/office and following the use of the T Room and DIVE. Refuse must be disposed of. No storage in or around cubicles is permitted except within those shelves and cabinets provided for that purpose. Storage of empty and/or dirty food containers is not permitted in open/shared spaces. The refrigerator must be kept clean at all times. If your food spills, you must immediately clean it up to avoid contamination. Clutter on the floor can become a safety hazard. Employee desks and other exposed surfaces must be kept neat and clean at all times.

Many of the materials used to construct this facility are more fragile than some may be used to. There are surfaces built out of delicate Sycamore wood, art glass suspended from guide wires and granite in

some areas. Employees must respect these materials to avoid damaging them. They should be careful with moving chairs/tables or other objects that could impact these materials.

9.7.7 Security Systems

Access to LONI through the main entrance can be achieved once the Employee's identity has been validated biometrically with an iris scanner. Biometric security devices using fingerprint identification control access to the T Room, DIVE and Data Center. Access is granted for specific reasons and will be limited to absolute necessity. Employee ingress and egress are recorded. Note, that these systems do not allow doors to be held open for more than 60 seconds; exceeding this duration will produce audible alarms.

LONI has security cameras installed throughout the laboratory. The cameras are in place to protect LONI equipment and people. While it is not our intent to violate employee privacy, employees should understand that they are in a public space while at work. There are no cameras in or around the restrooms.

The security system is only as effective as the people who use it. Employees should be sure to close all doors behind them and to not let strangers follow them into the laboratory. If visitors are here on official business, they can use the intercom at the entrance. Employees must notify administration of any suspicious persons or activity as soon as possible.

9.8 Compliance

Should individuals or groups fail to adhere to the policies outlined above or otherwise disrespect the space or its occupants, access to the laboratory will be denied and privileges revoked.

10 Right to Revision

As with all LONI policies, LONI reserves the right to revise this policy at any time and without advanced notice. All updated policies can be found online at http://www.loni.ucla.edu/About_Loni/inside_loni/LONI_Policy.jsp.

11 Definitions

LONI Resource
: Hardware, software and support resources available through LONI's National Center for Research Resource (NCRR) funded by grant P41 RR01364, a component of the National Institutes of Health (NIH).

LONI Collaborators
: All investigators (P.I., co-Investigator, or staff) who have a role in the collaborative research project.

Employee
: Any faculty, investigator, researcher, outside collaborator, staff or student employee, intern, volunteer, visitor or other member of the Laboratory of Neuro Imaging.

Office Administrator
: Any member of the office administration team working in the B suite.

Systems Administrator
: Any member of the systems administration team as directed by the Chief Technology Officer.

Group Leader
: The team lead of any one of the research or support groups. The group leader is responsible for the overall productivity of his/her team.

Manual/LONI Policies
: Refers to this Policy and Procedures Manual. The manual is updated periodically with the latest version being posted on the LONI website.

LONI website
: Refers to the URL www.loni.ucla.edu and all the contents therein.

Equipment
: Refers to any supplies, equipment, instrumentation, software, hardware, animations etc. purchased or produced by the Laboratory of Neuro Imaging for employee use.

Space
: Refers to the employee's individual workspace as well as the general LONI laboratory spaces (including, offices, cubicles, cold room and wet laboratory) located in Suite 225 of the Neuroscience Research Building (NRB) and on the fourth floor of the Reed Neurological Research Center (Reed).

12 Appendix

12.1 Personnel Information Sheet

LABORATORY OF *Neuro Imaging, UCLA*

Personnel Information

Name: _____

DOB: _____ UID: _____ Cell Phone: _____

Address: _____ Home Phone: _____

_____

Secondary Email: _____

☐ US Citizen ☐ Perm. Resident ☐ Visa: _____ Exp: _____ Renewed: _____ Exp: _____

Start Date: _____ Title/Group: _____

* I have been given a copy of/access to the LONI policies & procedures, and will abide by them. Policies and procedures are available online at www.loni.ucla.edu/About_Loni/inside_loni/LONI_Policy.jsp

* Signature: _____ Date: _____

Keys/Biometics/Codes Assigned Key Codes: ☐ Main Lab ☐ Video Room ☐ Data Center Reed

Key #: _____ Location: _____ Date Assigned: _____ Date Returned: _____

☐ Add to People Page ☐ LONI/CCB/BIRN Employee Agreement

☐ Iris Scanner (Code: _____) ☐ Fingerprint Scanner (Code: _____)

☐ Prox Card (Code: _____) ☐ Network Access

Equipment Assigned All returned? ☐ Yes ☐ No: _____

Desc.: _____ Date: _____

Desc.: _____ Date: _____

Desc.: _____ Date: _____

Last Day on Pay: _____ Reason: _____

☐ Remove all biometrics ☐ Collect keys, prox cards

☐ Remove network access ☐ Collect all equipment, SW, books, etc.

☐ Letter of resignation ☐ PAR

☐ Forwarding Address / Email / Phone ☐ Final Timesheet

12.2 Employee Agreement

LABORATORY OF *Neuro Imaging, UCLA*

LONI/CCB/BIRN Employee Agreement

Background: The goals of LONI/CCB/BIRN are to further the science and understanding of brain structure and function in health and disease. To meet these goals and to contribute to and advance neuroscience research, LONI/CCB/BIRN acquires data, develops modern quality computational tools and makes these freely available to the community. We promote our progress and results via peer reviewed publications, the dissemination of software tools and online database access to data. Individual investigators, and the LONI/CCB/BIRN as a whole, will always be properly acknowledged and credited for their contributions.

All employees affiliated with and/or (wholly or in part) funded through LONI/CCB/BIRN via Federal, State and Private grants must read and sign this form indicating their agreement to the terms herein. Many of the LONI/CCB/BIRN grants mandate that all publications, patents, brand names, scripts, protocols, electronic materials, hardware and software developments are freely and publicly available to the community. These mandates are directly reflected in the LONI/CCB/BIRN software license agreement (http://www.loni.ucla.edu/Policies/), our grant-specific publication acknowledgements (http://www.loni.ucla.edu/Research/Grants/), and most importantly the Notices of Grant Award (e.g., http://grants1.nih.gov/grants/guide/rfa-files/RFA-RM-04-022.html), the UCLA OIPA (http://www.universityofcalifornia.edu/copyright/systemwide/pcoviii.html) and HIPAA (http://www.hhs.gov/ocr/hipaa/, http://www.mednet.ucla.edu/HIPAASecurityQuiz/).

Each software development effort should be made available from its initial stages for *internal* LONI/CCB/BIRN review, usage and cooperative development in our secure versioning system (CVS/CCBforge); http://www.loni.ucla.edu/Software/Sources/. This will increase our collective productivity and improve the quality of the tools we engineer. We are a team and we must work as one. As this software becomes more mature, validated and published, we will discuss its external distribution with you prior to making it publicly available http://www.loni.ucla.edu/Software/Documentation/Software_Distribution_Agreement.pdf. Our goal is to maximize the impact of your contribution with you receiving credit in every way.

As stated in our Notices of Grant Award, any software produced within LONI/CCB/BIRN should be freely available to biomedical researchers and educators in the non-profit sector, such as educational institutions, research institutes, and government laboratories. The terms of software availability should permit the commercialization of enhanced or customized versions of the software (with your involvement if desired), or incorporation of the software or pieces of it into other software packages. Furthermore, software availability should include the ability of researchers outside LONI/CCB/BIRN to contribute to the source code development and to share modifications with other colleagues. LONI/CCB/BIRN is responsible for creating the original and subsequent *official* version of each software tool, and will manage the dissemination and adoption of improvements/contributions by others.

1. (Copyright) I, _____, certify that any products that I work on or create during employment and/or affiliation at LONI, CCB or BIRN, while partially or completely funded by grants awarded to LONI/CCB/BIRN, are and will be the intellectual property of the Laboratory/Center/University. Each (co-)author will be acknowledged in the material distribution, however, the copyright remains with the Laboratory/Center/University.

2. (Documentation) I will maintain laboratory documentation, including laboratory notebooks, where appropriate, to adequately demonstrate that developments or discoveries were conceived or first reduced-to-practice by me including clear identification of any collaborations (within LONI/CCB/BIRN or outside). Prior to completion of my association with work contracted pursuant to LONI/CCB/BIRN contracts or grants, a complete disclosure of all software, instructional materials, inventions or discoveries conceived or first reduced-to-practice by me, or in collaboration with others, with the utilization of time, money or facilities charged to LONI/CCB/BIRN contracts or grants, and copyrightable works vested thereunder, must be submitted to LONI/CCB/BIRN.

3. (HIPAA) I will ensure that all patient data is handled in accordance with State and Federal Regulations.

4. (Outside Business) I will not disseminate any of the LONI/CCB/BIRN CVS and source code, or make any of it available to others. Furthermore, I will not take other people's source code from the CVS when/if I leave LONI without explicit written permission from the authors and the Director. In addition, I will inform the Laboratory and Center Director of any private or business endeavors, including consulting, that I am involved in, outside of my work in the Laboratory/Center.

5. (Conflicts) I represent that I have no agreements with, or obligations to, others in conflict with the foregoing.

(sign) _____ Date: _____

12.3 Data Collaboration

Overview:
Collaborators wishing to store data at LONI for processing, sharing or other purposes are required to utilize the LONI Image Data Archive (IDA). The LONI IDA provides a web-based integrated environment for safely archiving, querying, visualizing and sharing neuroimaging data. The archive facilitates the de-identification and pooling of data, protecting data from unauthorized access while providing the ability to share data among collaborative investigators. Password authentication is required for all accesses and all accesses are logged. Data are stored in a fault-tolerant network, available near 24/7 and backed-up nightly.

Data Storage and Subject Privacy:
All subject identifiers are removed or replaced (as defined in the HIPAA Limited Data Set definition) prior to being stored in the data archive and will never include the name of the subject, their street address, phone/fax numbers, email address, Social Security number, medical record number, health plan beneficiary numbers, account numbers, certificate/license numbers, vehicle identifiers including license plates, device identifiers and serial numbers, URLs, internet protocol addresses, and biometric identifiers. Embedded within the IDA is a robust de-identification engine, capable of de-identifying the most common medical imaging file formats. General purpose de-identification translations are available or a customized approach may be crafted to meet the specific needs of the project.

Data Collaboration Steps:
- Review LONI policies: http://www.loni.ucla.edu/Research/FTP/LONI_Policy.pdf.
- Complete the online collaboration application: http://www.loni.ucla.edu/NCRR/Application/LONIR_Application.jsp.
- Receive e-mail approval notification.
- Receive and complete Data Use Agreement. A signed Data Use Agreement between the collaborator and LONI is required. This agreement outlines how the data may be used and who may access the data.
- Provide original signed Data Use Agreement, copy of subject consent forms, and copy of IRB approval notice (if applicable).
- Provide project information to data coordinator upon request. Information about the project (research groups, species, number of sites, etc.) is required to initiate the project.
- Register for a LONI user account. To create an account, click the “Create a new account” link at https://www.loni.ucla.edu/ida/login.jsp .
- Notify dba@loni.ucla.edu when you have completed the account creation process so permissions to access the project can be set for the specified user account(s).
- Receive email notification that permissions to access the LONI Image archive are set.
- Log in and use the image archive. Detailed instructions for querying, archiving and downloading data are in the LONI IDA User Manual linked from the login page.

DATA USE AGREEMENT BETWEEN

[Insert Holder Name]

and

[Insert Recipient Name]

This Data Use Agreement is made and entered into on [mm/dd/yy] by and between [Insert Holder Name] hereafter "Holder" and [Insert Recipient Name] hereafter "Recipient."

1. This agreement sets forth the terms and conditions pursuant to which Holder will disclose certain protected health information, hereafter "PHI" in the form of a Limited Data Set to the Recipient.

2. Terms used, but not otherwise defined, in this Agreement shall have the meaning given the terms in the HIPAA Regulations at 45 CFR Part 160-164.

3. Permitted Uses and Disclosures

   3.1 Except as otherwise specified herein, Recipient may make all uses and disclosures of the Limited Data Set necessary to conduct the research described herein ("Research Project"):

   [Include a brief description of the research and/or HSC protocol number]

   3.2 In addition to the Recipient, the individuals, or classes or individuals, who are permitted to use or receive the Limited Data Set for purposes of the Research Project include:

   [Insert names or classes of persons who may use or receive the limited data set, e.g. the researcher's staff, any collaborators, other clinical sites involved in the research, sponsors if applicable, outside laboratories]

   To the extent that the classes of persons are not part of the Recipient's workforce who are directly involved in the Research Project, the Recipient shall enter into a data agreement with the other classes of persons before such release of the Limited Data Sets.

4. Recipient Responsibilities

   4.1 Recipient will not use or disclose the Limited Data Set for any purpose other than permitted by this Agreement pertaining to the Research Project or as required by law;

   4.2 Recipient will use appropriate administrative, physical and technical safeguards to prevent use or disclosure of the Limited Data Set other than as provided for by this Agreement;

4.3 Recipient will report to the Holder any use or disclosure of the Limited Data Set not provided for by this Agreement of which the Recipient becomes aware within 15 days of becoming aware of such use or disclosure;

4.4 Recipient will ensure that any agent, including a subcontractor, to whom it provides the Limited Data Set, agrees to the same restrictions and conditions that apply through this Agreement to the Recipient with respect to the Limited Data Set;

4.5 Recipient will not identify the information contained in the Limited Data Set; and

4.6 Recipient will not contact the individuals who are the subject of the PHI contained in the Limited Data Set.

5. Term and Termination

5.1 The terms of this Agreement shall be effective as of [mm/dd/yy] and shall remain in effect until all PHI in the Limited Data Set provided to the Recipient is destroyed or returned to the Holder.

5.2 Upon the Holder's knowledge of a material breach of this Agreement by the Recipient, the Holder shall provide an opportunity for Recipient to cure the breach or end the violation. If efforts to cure the breach or end the violation are not successful within the reasonable time period specified by the Holder, the Holder shall discontinue disclosure of PHI to the Recipient and report the problem to the Secretary of the Department of Health and Human Services or its designee. The Holder shall immediately discontinue disclosure of the Limited Data Set to the Recipient if the Holder determines cure of the breach is not possible.

6. General Provisions

6.1 Recipient and Holder understand and agree that individuals who are the subject of Protected Health Information are not intended to be third party beneficiaries of this Agreement.

6.2 This Agreement shall not be assigned by Recipient without the prior written consent of the Holder.

6.3 Each party agrees that it will be responsible for its own acts and the results thereof to the extent authorized by law and shall not be responsible for the acts of the other party or the results thereof.

IN WITNESS WHEREOF, the parties hereto execute this agreement as follows:

HOLDER

Date: [mm/dd/yy]

By: _____

[Insert Holder Name]

[Title of person with authority to sign agreement]

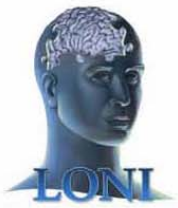
RECIPIENT

Date: [mm/dd/yy]

By: _____

[Insert Recipient Name]

[Title of person with authority to sign agreement]



Project: _____

ASSURANCE OF COMPLIANCE WITH DATA USE AGREEMENT

The following individuals are authorized to receive and use the Limited Data Set described in the Data Use Agreement for the purposes described in Section 3 of the Data Use Agreement.

By signing below, we acknowledge the restrictions on our use and disclosure of the Limited Data Set in accordance with the Data Use Agreement.

Name: [Name] Name: [Name]

Signature: _____ Signature: _____

Date: _____ Date: _____

Name: [Name] Name: [Name]

Signature: _____ Signature: _____

Date: _____ Date: _____

Name: [Name] Name: [Name]

Signature: _____ Signature: _____

Date: _____ Date: _____

Name: [Name] Name: [Name]

Signature: _____ Signature: _____

Date: _____ Date: _____

12.4 Conference Room Scheduling Procedure

LONI Calendar: http://www.loni.ucla.edu/calendar/calendar.php
* Note: The rooms are not to be used for student or subject-related activities or meetings with fewer than 3 (three) people. No food or drink allowed in the conference rooms.

To schedule a conference room, employees should:
- Check the calendar for available dates/times
- Send an email to office@loni.ucla.edu with the following info:
  - Room Requested
  - Date/Time needed
  - Name of Event
  - Contact Person (Name & Email)
  - Short Description of Event
  - DIVE seating configuration (optional)
  - Any links or attachments they want uploaded (optional)

Any requests without the requisite information may result in processing delays.

13 Acknowledgements

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LONI POLICIES & PROCEDURES MANUAL (PPM)

RECEIPT ACKNOWLEDGMENT

I have received my copy of the LONI Policies & Procedures Manual. It is my responsibility to read, understand and comply with the matters set forth in this PPM.

I understand and acknowledge that LONI has the right, without prior notice, to modify, amend or terminate policies, practices, and other institutional programs within the limits and requirements imposed by law.

An electronic copy of the PPM can be found online at
http://www.loni.ucla.edu/About_Loni/inside_loni/LONI_Policy.jsp

_____

[Name]

_____

[Signature]

Dated: _____